

March 20, 2002

SUBJECT: ARS-425 "Authorization to Apply For and Use Funds From Outside Sources"

TO: Center Directors/Research Leaders  
Location Administrative Officers

FROM: Adrianna D. Hewings  
Director

I am forwarding two memos from Dr. Dwayne Buxton, Deputy Administrator, NPS. Dr. Buxton reiterates ARS's policy regarding ARS-425 "Authorization to Apply For and Use Funds From Outside Sources". Please distribute these two memos with the following MWA Policy to all scientists in your Management Unit (MU).

Effective immediately MWA scientists must adhere to the following procedures in applying for outside sources of funds:

- 1) The ARS-425 must be in ARIS in the Active Database before I will sign forms as Authorized Organizational Representative (AOR).
- 2) The research outlined in the proposal should:
  - a) Support the mission of ARS;
  - b) Be of mutual interest to ARS and the outside source of funds;
  - c) Supplement without detracting from the programs of the scientist and MU performing the work;
  - d) Be related to the expertise and assignment of the individual(s) performing the work.
- 3) The ARS-425 must be in ARIS in the Active Database before the proposal is submitted to an outside source even if it does not require Area Director signature as AOR.

Please ensure that your MU follows the above procedures and initiates ARS-425s at the beginning of the proposal writing process. The ARS-425, Proposal Cover Sheet, Project Summary, Budget and any forms requiring the AOR signature must be sent to Marilyn Paul, MWA Program Analyst, in order for us to adequately evaluate the ARS-425. Once I have reviewed and approved the ARS-425, Marilyn will forward it to NPS. As indicated in the attached memos, NPS will complete evaluation of the ARS-425 within three working days. When their evaluation is complete and the ARS-425 is in the Active Database, Marilyn Paul will obtain my signature as AOR and FedEx the package back to the MU within two working days. A copy of the final proposal should then be sent to Marilyn Paul at the time the proposal is submitted to the outside source of funding.

This new procedure will require preplanning on the part of our scientists. However, if we all work together appropriate approvals can be obtained and the funding sources' deadlines met. If you have any questions, please give me a call.

**United States Department of Agriculture**

Research, Education, and Economics  
Agricultural Research Service

March 5, 2002

SUBJECT: Followup to ARS-425 Memo

TO: Area Directors

FROM: Dwayne R. Buxton /s/  
Deputy Administrator

As a followup to my memo dated February 15, 2002, I am providing further guidance and information regarding the processing of form ARS-425, "Authorization to Apply For and Use Funds from Outside Sources."

As previously stated, the ARS-425 must be approved prior to submitting a proposal to outside sources for funding. The ARS-425 should be initiated near the beginning of the grant proposal writing process, not at the end. Scientists should not wait until the proposal is complete to submit ARS-425. The ARS-425 requires a minimal amount of information that needs to be entered and should be known to scientists at the beginning of the proposal writing process.

From the National Program Staff (NPS) standpoint, we are changing our approval process to eliminate any untimely delays. NPS will initiate a new approval process that will allow us to complete our evaluation of ARS-425s within three working days. This new process should eliminate concerns that scientists may have about not receiving timely decisions which could prevent them from submitting their proposals to the funding organizations by the designated deadlines.

cc:

E. Knipling, OA

C. Rexroad, Jr., OA

Associate Deputy Administrators, NPS

J. Stetka, NPS

National Program Staff  
5601 Sunnyside Avenue, George Washington Carver Center, Room 4-2150  
Beltsville, Maryland 20705-5134

United States Department of Agriculture

Research, Education, and Economics  
Agricultural Research Service

February 15, 2002

SUBJECT: ARS-425 "Authorization to Apply For and Use Funds From Outside Sources"

TO: Area Directors

FROM: Dwayne R. Buxton /s/  
Deputy Administrator

In 1995, the Policies and Procedures (P&P) 321.1 on "Acceptance of Non-Appropriated Funds to Conduct Research or Perform Services" was revised in order to streamline the paperwork and approval process and to enable funding to be received in a timely and efficient manner.

In accordance with P&P 321.1, the Form ARS-425 "Authorization to Apply For and Use Funds From Outside Sources" is to be fully approved before a proposal can be submitted to a potential source of outside funds. In addition, the research should support the mission of ARS, should be of mutual interest to ARS and the outside source of funds, should supplement without detracting from the programs of the scientist and the unit performing the work, and should be related to the expertise and assignment of the individual(s) performing the work.

Over the years since the streamlining process, the approval process has become somewhat relaxed. Therefore, we are re-emphasizing that the ARS-425 must be entered in RMIS/ARIS and fully approved through the Area Director if under \$25,000 and, if over \$25,000, through the National Program Staff before any proposal is submitted to an outside source of funding.

If there are any questions or concerns, please let me know.

cc:

E. Knippling, OA

C. Rexroad, Jr., OA

J. Stetka, NPS

Associate Deputy Administrators, NPS

**ARS POLICY  
FOR  
ARS-425 AUTHORIZATION TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES  
TO CSREES for IFAFS FUNDS**

**From:** Edward Knipling  
**To:** Administrators-Council  
**Date:** Friday, April 20, 2001 8:54:46 AM  
**Subject:** ARS Participation in the IFAFS Grant Proposals

April 20, 2001

SUBJECT: ARS Participation in the Initiative for Future Agriculture and  
Food Systems (IFAFS) Grant Proposals

TO: Administrator's Council

FROM: Edward B. Knipling /s/  
Associate Administrator

I have received several inquiries from Area Directors on how ARS scientists should represent and affiliate themselves when applying for IFAFS grants through a university or other collaborating institution. Upon checking with Dr. Rodney Foil of the CSREES-IFAFS Program and with Curtis Wilburn of the ARS Extramural Agreements Division, I offer the following guidance.

As you know IFAFS grants cannot be awarded directly to ARS, but a portion of the funds can be sub-allocated to ARS from the awardee institutions.

An ARS scientist can thus be identified as a co-principal investigator or collaborator on a grant proposal, but the grant award would be made entirely to the university in the name of the university representative, i.e., the principal investigator or co-investigator. Sub-awards to ARS via Trust Fund or Reimbursable Cooperative Agreements would then be made in accordance with standard procedures and policies as defined by and negotiated between the university and ARS.

An ARS scientist who has an adjunct faculty appointment could apply for a IFAFS grant as Principal Investigator in the name of the university, if the university authorizes that Principal Investigator by virtue of the adjunct appointment to expend university funds and control activities for which the university is accountable. Thus, this situation would be guided by university policy, not by IFAFS or ARS policy.

cc:  
C. Wilburn, EAD

**MWA POLICY  
FOR WAIVER REQUESTS  
ARS-425 AUTHORIZATION TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES  
"SOFT FUNDS"**

Policies and Procedures 321.1, Acceptance of Non-appropriated Funds to Conduct Research or Perform Services (dated 7-6-95), addresses applying for outside funds; 329.5, Assessment of Indirect Program Support Costs (IPSC) and Indirect Research Costs (IRC) (dated 8-12-94), for information on applying for waivers of indirect research costs; and to Bulletin 98-306, Indirect Program Support Costs Policy (dated 10-01-98). These three documents will provide all the information needed to apply for a outside funds and abide by Agency and Area policies in a simple, timely way.

It is important to remember that the ARS-425 must be electronically entered into ARIS to obtain Area Director and NPS approval and reside in the ARIS Active database PRIOR to submitting the proposal to the outside funding source. The ARS-425 is required of all ARS scientists who are Principal Investigators (PI's) and all ARS scientists who are co-PI's submitting proposals with non-ARS collaborators. Submitting the ARS-425 as soon as the preliminary budget and project summary for the proposal are developed will create no impediment to completing the proposal by the submission date. The full proposal can be written during the approval process, which will take approximately a week. Most procedural questions can be answered by the Management Unit secretary or the Location Administrative Officer and, if a unique situation arises, staff in the Area Budget & Fiscal Office are happy to provide guidance.

When a proposal is funded, one of the more difficult issues is determining who will administer the funds. Unless there is a compelling reason to the contrary described in a written justification and approved prior to submission, all incoming funds from outside sources on which an ARS scientist is the PI (first in the list of authors) should be administered by ARS; funds from outside sources on which an ARS scientist is the co-PI are administered by the PI's employing institution. The perceived difficulties of too much paperwork, hiring, grade and nationality of prospective postdocs, waivers of indirect costs, obligations to cooperators and the like, can be dealt with if the Management Unit Secretary and Location Administrative Officer are brought into the loop early in the process of preparing a proposal. When problems and awkward situations arise, it is nearly always a result of poor communication or failing to meet recommended timetables, i.e. the ARS-425 is put into ARIS after the proposal has been submitted or worse, after it has been funded.

The exception to the policy of "all incoming funds from outside sources on which an ARS scientist is the PI (first in the list of authors) should be administered by ARS" is the National Science Foundation (NSF). ARS has a Memorandum of Understanding with NSF whereby an ARS scientist may be the PI, and funds are administered by the institution, NSF. In these cases, no waiver from the Area Director is required. To date, this is the only exception.

**MWA POLICY  
FOR  
ARS-425 AUTHORIZATION TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES  
TO CSREES**

- Electronic submission of the ARS-425 to obtain Area Director and NPS approvals is the essential FIRST step in the application process. The ARS-425 is required if the ARS scientist is Primary Investigator (PI), Co-PI or Secondary Investigator on the proposal.
- When the budget and project summary is developed, complete the ARS-425 in ARIS.
- Submit the 425 electronically in ARIS at the same time the Cover Sheet, Project Summary and Budget Sheets are mailed to the Area. The ARS-425 will be sent electronically via ARIS for Area and NPS approvals. The ARS-425 must be in the ARIS Active database before submission of the proposal to the funding source.
- Preparation of the remainder of the proposal can then proceed during the approval process if the particular deadline is close.
- Submit proposal through the Area (either to Area Office or the Budget and Fiscal Office) so an Area Director can sign the application as Authorized Organizational Representative.
- The ARS scientist is PI and ARS affiliation is shown throughout the proposal to the funding source, unless a waiver is sought and approved by an Area Director.
  - o Category II scientist may not be listed as PI on proposal for funds from outside sources.
  - o Category II scientist may be a Co-PI or Secondary Investigator with the Research Leader as PI.
- The scientist must sign the necessary forms before submitting to the Area Office.

REMINDER: Agency overhead must be included if the dollars are to come directly to ARS (11.11% of net dollars).

**FORM**

**SIGNATURES REQUIRED**

CSREES-661 Application for Funding  
CSREES-1232 Project Summary  
  
CSREES-55 Budget  
  
CSREES-62 Assurance Statement  
CSREES-663 Current and Pending Support  
CSREES-1234 NEPA - National Environmental  
Policy Act Exclusion Form

Scientist and Area Director  
None (Scientists names must be  
typed on the Project Summary  
form)  
None (Budget is signed when  
funded)  
Area Director  
None  
  
None (Scientists name must be  
typed on the form)

- A detailed budget for each year of requested support and a summary budget for the overall project period must be included.
- Funds that will be used in an RSA (Research Support Agreement) must have a separate detailed budget.
- RSA total is identified and entered on the line All Other Direct Costs of the overall total budget, e.g., RSA (Research Support Agreement) \$53,281.
- Personnel providing services through an RSA may not have a Ph.D.
- The above requirements apply for funds that will be used in a SCA (Specific Cooperative Agreement).

Send a copy of the final proposal, either to Area Office or the Budget and Fiscal Office, at the same time the required copies are sent to the funding source.

ARS-425 AUTHORIZATION TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES  
Supplement to ARIS On-Line Manual  
Chapter 14C

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**ARS-425 ONLY - NEVER REQUIRES AN AD-421 Annual Research Progress Report**

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An ARS425 is a three-step process.

First in the process: Proposal

- A 425 is created in ARIS before the proposal for Funds from Outside Sources is sent to the funding source or granting institution.
- The created and approved 425 resides in the ARIS database with a STATUS of "pending."
- A hard copy of the proposal going to the funding source or granting institution is to be sent to the Area Program Analyst through your Location Administrative Officer.

Second in the process: Tracking and Updating

- Keep track of the proposal status.
- When you find out whether the proposal is awarded, funded, or unfunded, let your Location Administrative Officer know and update the 425 in ARIS.
- If funded to ARS for greater than \$25,000, add the 416/417.
- If Unfunded, let your Location Administrative Officer know and update the 425 in ARIS.
- If Awarded, No Funds to ARS, let your Location Administrative Officer know and update the 425 in ARIS.

Third in the process: Terminating

- Keep track of the "awarded or funded" project so that you know when it is completed.
  - When the project is completed, notify your Location Administrative Officer and terminate the 425 in ARIS.
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**Types**

TRUST

FUNDS PROVIDED IN ADVANCE TO ARS  
for work to be performed.

TRUST

FUNDS PROVIDED IN ADVANCE TO ARS  
CRADA - Conduct cooperative technology  
transfer activities (product).

REIMBURSABLE

FUNDS to ARS IN ARREARS  
for ARS's costs incurred  
under project.

REIMBURSABLE

FUNDS UP FRONT to ARS  
for Agency to Agency agreements  
e.g., FGIS to ARS, DOE to ARS

REIMBURSABLE  
NO FUNDS to ARS  
ARS scientist Co-PI  
Funds administered by University

Result of MUTUAL cooperation between ARS and the funding source, agreement requires whereas clauses and a 3-part budget.

Result of funding awarded after research proposals meet funding source criteria, agreement does not require whereas clauses. Examples: NRI-CGP, Indiana Soybean Development Council, ISOPB, National Pork Board.

Again, if the Source of Funds is paying for the research 'up front' before the research is actually accomplished, the agreement is a Trust.  
If the Source of Funds is 'invoiced' or makes payment for the research after it's accomplished, the agreement is a Reimbursable.

When funds are received from an outside source for TRAVEL ONLY, an ARS-425 is not needed. An AD-202, Travel Authorization, and an 'in-kind' acceptance letter are required.

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#### SOURCE OF FUNDS

IF funds will be received by ARS, WHO is the SOURCE on the 'check'?  
If the 'check' will say "University of Minnesota", that is the SOURCE.  
If the 'check' will say "Consortium for Plant Biotechnology", that is the SOURCE.

IF no funds will be received by ARS, the SOURCE will be the organization that receives the funds. Or ask, from whom will the scientist have access to funds?

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#### 425 Helps

##### For No Funds to ARS 425

Purpose of Funds	4 = Research-NO FUNDS to ARS
Type of Agreement:	R Reimbursable
IPSC:	Leave blank
How are Funds to be Used?	ALL zero
Work to be Performed:	I Inhouse
Performing Org:	Leave blank

##### If you have funds going to RSA and SCA:

List RSA funds under the field "RSA"  
List the SCA funds under the field "Other"  
Work to be Performed: B (Both) Inhouse & Extramural

Outside funds coming into ARS can GO OUT ONLY through a Research Support Agreement or Specific Cooperative Agreement.

##### If CRADA, and incoming funds >\$25,000:

Add 416/417 upfront when submitting action. MUST complete field: "Value of owned or Controlled ARS Buildings & Land Utilized," which is the cost of the use of building and/or land that is borne by each project. ARS can either ask the outside party to pay its fair share of those costs or ARS can consider those costs to be an in-kind contribution. In either case, those costs must



be considered in developing a budget.

- **First** - estimate the percentage of ARS owned or controlled buildings and/or land to be used when performing the research/service.
- **Second** - find the amount budgeted for land and structures (Object Class 3200 on the approved ARMP) on the project associated with the research/service.
- **Third** - multiply the amount budgeted for buildings and land by the estimated percentage. This is the result to be entered. This amount is not part of "How are Funds to be Used," and is not to be calculated in the "Total Proposed Amount."

**If Trust or Reimbursable, and incoming funds > \$25,000,**

Submit 425 ONLY; when notified of awarded funds, ADD the 416/417 immediately.

**To extend time or add funds to 425**

Create a Work Record from the Active.

Modify fields in Work Record as needed to assure the ARS-425 matches the Agreement.

Add funds to fields in the How are Funds to be Used section.

Forward to Area Level.

**Continuation of 425 when funds <25,000 or >25,000**

Proposal submitted by scientist to funding source to receive more funds for **on-going** project must be documented with a new 425. This is the proposal stage. If funded, funds are then added to Active 425 of on-going project and Pending 425 is marked Unfunded.

**Start Date and Term Date**

Dates on executed agreement.

**Award Date**

Date on executed Agreement last signed by authorized official.

**Agreement Number**

Added at Area but required before record becomes Active.

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**IPSC**

Reference Table can identify if IPSC is

- (1) Never Waived;
- (2) Always Waived, or
- (3) Can Request Waiver

FORM NUMBER: 425 FIELD NAME: IPSC - Indirect Program Support Costs

INFORMATION: Data from the reference table to identify if IPSC is taken/waived automatically or if a request for waiver can be made to BPMS.

FORM NUMBER: 425 FIELD NAME: Requesting IPSC waiver

INFORMATION: Enter a Y=yes or N=no. If Y entered, enter why you are requesting waiver. BPMS will use this information to approve/disapprove the request. Be concise and explicit describing the reason.

**WAIVER REQUESTS**

If a request is made within the ARS-425 to waive IPSC, and the request meets the waiver criteria, the waiver will be approved.

If the waiver request does not meet the waiver criteria, the waiver request field in the ARS-425 is marked 'no' or denied.

Contact the Area Program Analyst if the waiver is re-requested with additional information.

Contact the Area Program Analyst if a waiver request is made for a source for which IPSC is Never Waived in ARIS.

#### **Figuring Indirect Research Costs for Proposal Budget Sheets**

11.11% net goes on Indirect Costs line

To clarify:

If total from Total Direct Costs Line is \$200,000, multiply \$200,000 times 11.11%.

Result is \$22,220 and goes on Indirect Costs line.

Add together the \$200,000 and the \$22,220.

Result is \$222,220 and goes on Total Amount of Request line.

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#### **Documentation**

Documentation should allow Extramural Agreements Specialist to process the agreement.

Documentation should allow Program Analyst to process the ARIS action. Program Analyst checks the ARIS action against the documentation, looks particularly at the budget sheets to see how the incoming funds will be spent, if any funds will go into a RSA, a SCA or will be used to hire an ARS employee.

Essential that the scientist knows and explains how the funds are to be used and correctly prepares the budget sheets and budget justification.

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#### **Amending Funds on ARS-425**

How are Funds to be Used section. Print a copy of Active for record of dollar amounts in How are Funds to be Used section.

Example:

\$25,000 was originally entered into Supplies, but in the funded proposal only \$15,000 will be received for Supplies. So, calculate the amount to be subtracted from the Supplies field and enter that amount as a minus in the field.

Old Amount	New Amount	Minus Amount
\$25,000	\$15,000	-10,000

## **Funds Posted**

Only funds posted are required to move a 425 Only from Pending to Active.

ABFO receives a check

- Creates work record for the 416/417 w/425 or 425

- Modifies fields

- Adds Fund Commitment

- Approves record and Fund Commitment

416/417/w425 or 425 is sent to NPS

Fund Commitment is sent to BPMS

- BPMS must collect and approve Fund Commitments before they go to the official file

Check Status - 425 Budget to look at any Fund Commitments to determine the status.

If status is BPMS approved, the next day the record will be in the official file.

The first time funds are posted, the action, adding Fund Commitment, goes to Area Level and the Area Program Analyst approves record.

Subsequent postings by the ABFO bypass Area Level and go directly to BPMS.

If ABFO makes additional changes, e.g., Term Date or to other predefined fields, these actions go to Area Level and the Area Program Analyst approves record.

## TERMINATION PROCESS

**BEFORE TERMINATING** a T or R project (or 425) that has had money coming into the Agency under a Trust, Grant, CRADA, or Reimbursable agreement there are a few steps you can take that will save everyone a lot of headaches. NOTE: If a project is terminated before all money is posted to the 425 we either risk not being allowed to collect the money or a request has to go all the way to HQ to have the project reinstated.

### STEP 1:

Is there a formal agreement in place where we are receiving money from the cooperator? If the answer to this question is '**NO**' you can stop here and terminate the project. If the answer is '**YES**' proceed to the next step.

### STEP 2:

We need to determine if all the money has been received from the cooperator and posted to the 425 in ARIS. Following are the steps you can take to see if all the money has been posted in ARIS:

- a) From a copy of the actual agreement determine the amount of money to be received. (Note: Please refer to the agreement and not the 425 for this amount as the 425 may not have been changed to match the agreement)
- b) Once you know the agreement amount you can go into ARIS and check the 'Fund Commitment' to verify the funds have been posted.
- c) If all the funds have been posted to the 425 you may proceed to terminate the project in ARIS. If all the funds have NOT been posted you should talk to your LAO to determine what needs to be done to collect any remaining dollars from the cooperator.
- d) If additional funds need to be collected you will need to hold off on terminating the project until the funds are received and the ABFO updates the ARIS record. Once this is complete you can proceed to terminate the project.

If you need assistance on how to check ARIS for the posting of funds to the 425 please contact the Area Program Analyst.

GUIDE  
ARS-425 AUTHORIZATION  
TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES

**FORM NUMBER: 425**

Field Name	Information and/or Choice	MU Entry
<b>Modecode/ Log Number</b>	Defaulted by the users' modecode on insertion of a new 425. The log number is composed of the Mode Code followed by a sequential number assigned by the computer. The sequential number will never change and will be essentially a random number at the Management Unit level.	<i>no entry is needed here</i>
<b>Contact</b>	The name will be selected from a file of the "personnel" data within the Management Unit inputting the 425, obtained from NFC payroll file. The series and grade defaults from the selection.	<i>This will be the ARS scientist ...</i>  Only Category 1 and 4 SYs can be listed as Contact for all research proposals. <b>Services Only</b> can have non-SY listed as Contact, i.e., Location Administrative Officer.
<b>Type</b>	<b>P=Principal Investigator:</b> Responsible for the project <b>C=Co-Principal Investigator:</b> Shares responsibility with another, usually a non-ARS individual. <b>S=Secondary Investigator:</b> Has no responsibility for the completion of the project. Serves as an ad hoc advisor to the PI.	<i>ARS scientist will be?</i>
<b>Telephone</b>	Defaults to the Responsible Person's (RL) phone number from the "Mission Statement" file in ARIS.	<i>ARS scientist phone #?</i>  Phone number should be modified to reflect the phone number for the Contact.

<p><b>Purpose of funds</b></p> <p><b>NOTE:</b> When research &lt;<b>\$25,000</b> total funding becomes &gt;<b>\$25,000</b>, the <b>Purpose of Funds</b> code will need to be changed to <b>2</b> and an AD-416/417 must be entered. The start date will default to the original start date of the &lt;<b>\$25,000</b>; if necessary, correct the start date on the 425 prior to attaching the 416/417.</p>	<p><b>1=Research &lt;=25,000:</b> Total funding for the duration of the project will not exceed \$25,000. Never requires an AD-416/417.</p> <p><b>2=Research &gt;25,000:</b> Total funding for the duration of the project will exceed \$25,000. Always requires an AD-416/417 which must be entered in ARIS before research begins and funds are committed to the project.</p> <p><b>3=Services Only:</b> Never requires an AD-416/417. Must identify type of service. Type of Agreement <b>R</b>.</p> <p><b>4=Research-No Funds to ARS:</b> To be used when scientists cooperate with non-ARS scientists on projects of mutual interest and funds do not enter the ARS accounting systems. No AD-416/417 is required. Also used for NSF proposals. Type of Agreement <b>R</b>.</p> <p><b>5=Gifts:</b> Use for “unrestricted” gifts. Never requires an AD-416/417. Type of Agreement <b>T</b>.</p>	<p><i>Answer these to choose Purpose of Funds #</i></p> <p>If funded, will ARS receive check for \$\$\$?</p> <p>YES    __ \$\$\$_____</p> <p>NO        __</p> <p>If YES &amp; less than 25K, choose #1</p> <p>If YES &amp; more than 25K, choose #2</p> <p>If YES &amp; Services Only, choose # 3</p> <p>If YES &amp; Gifts, choose # 5</p> <p>If NO FUNDS WILL BE RECEIVED BY ARS, choose # 4</p> <p><i>ARS scientist will be?</i></p>
<p><b>Type of agreement</b></p>	<p><b>R=Reimbursable:</b> ARS will bill the funding source as costs are obligated.</p> <p>Also use <b>R</b> with <b>Purpose of Funds</b> #4, RESEARCH-NO FUNDS TO ARS.</p> <p><b>T=Trust:</b> ARS receives all funds at start of the project.</p> <p><b>C=CRADA:</b> Funds are in support of a Cooperative Research and Development Agreement (CRADA).</p>	<p><i>ARS scientist will be?</i></p>

<p><b>If Service, Type of Services</b></p> <p><b>NOTE:</b> To be used only with <b>Purpose of Funds #3, Services Only.</b></p>	<p><b>1=Sale of Assets:</b> sale of property i.e. animals, crops etc.</p> <p><b>2=Quarters and Other Services:</b> housing and miscellaneous charges such as utilities available to employees on a reimbursable basis.</p> <p><b>3=Space and Other Services:</b> reimbursement of costs associated with space occupied by other agencies in ARS facilities. Other services are utilities, hazardous waste clean-up, building and ground maintenance, etc.</p> <p><b>4=Travel:</b> Receipt of funds from an outside organization for travel expense of an ARS employee. <b>In Kind</b> travel does not require the 425.</p> <p><b>5=Administrative Services:</b> Miscellaneous administrative services such as personnel, conferences, copier usage, etc.</p>	<p><i>Is the <b>Purpose of Funds #3 - Services Only</b>? If not, leave this blank.</i></p>
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<b>Remarks</b>	Briefly summarizes reason for action.	<p><i>Use to state reason for action and communicate any additional information.</i></p> <p>Examples: Proposal submitted to NRI-CGP, FY-95, \$200,000.</p> <p>CRADA proposal submitted to United Agricultural Products, FY-96, no funds involved.</p> <p>AWARDED to UNIV OF IL from Illinois Soybean Program Operating Board, \$200,000 for 3 yrs. NO FUNDS TO ARS. Move to Active Status.</p> <p>NO FUNDS to ARS. Funds, if awarded, to be administered by UNIV OF IL; proposal submitted to USB, FY-97, \$10,000.</p>
<b>Source of funds / Type</b>  <b>Type:</b> indicates type of organization. System generated from Source table.	Selected from a table that identifies all sources from whom ARS has received funds.	<p>If a source isn't shown in the table, send a message to the Area Program Analyst, who will see that necessary codes are established at NFC and entered into ARIS.</p> <p><i>ARS scientist source?</i></p>
<b>IPSC</b>  <b>IPSC</b> - Indirect Program Support Costs.	<p>Data from the Source Table identifies if IPSC is taken/waived automatically or if a request for waiver can be made to BPMS.</p> <p><b>N = Never waived; overhead will be taken.</b>  <b>Y = Can request waiver.</b>  <b>Blank = Exempt from overhead;</b> always waived as indicated in Source Table.</p>	



<b>Requesting IPSC waiver</b>	<b>Y=yes or N=no.</b> .	To request waiver of IPSC, choose <b>Y=Requesting Waiver</b> . State reason & use P&P 329.5, Page 4(E) dated 8/12/94 and cite exact reference applicable. BPMS will use this information to approve/disapprove the request.
<b>Financial Interest</b>	<b>Y=yes or N=no</b>	If <b>Y</b> entered, give explanation. The Agency Ethics Office will use this information for their records.
<b>Start/End Dates / Duration</b>	Computer automatically calculates the duration.	<p>Enter the proposed START and END dates.</p> <p><i>ARS scientist dates?</i></p> <p>When the proposal is funded, the dates <b>MUST BE</b> modified to reflect the <b>ACTUAL</b> Start and End date of the executed agreement. Once approved and in the Active File the Start date will become <b>non-modifiable</b> and will be the determining date for the 5-year duration.</p>

<p><b>How are Funds to be Used</b></p> <p><b>NOTE:</b> If <b>Purpose of Funds #4</b>, RESEARCH-NO FUNDS TO ARS, leave these fields all ZERO (blank).</p>	<p>ARS FTE: Number of ARS FTE who will be paid salaries from <b>these</b> funds.</p> <p><b>Cat 1 and 4 Salaries: ONLY APPLICABLE</b> to Baylor and Tufts University. <b>Is always ZERO for all other ARS locations.</b></p> <p><b>Supplies:</b> Used for supply costs.  <b>Equipment:</b> Used for equipment costs.  <b>*Other Federal Salaries:</b> Used for salaries of hired ARS employees, i.e., postdocs, technicians.  <b>Travel:</b> Used for travel costs.  <b>**RSA:</b> Used for RSA salary and any other RSA costs. RSA hire must be grad student; no PhD.  <b>***OtherCosts:</b> Used for SCA salary and related costs, IPSC, publication costs, and other costs without a designated field.</p> <p><b>Total Proposed Amount:</b> Calculated by the computer from individual field entries.</p>	<p>If ARS will be receiving \$\$\$ and the ARS scientist is hiring someone who will receive an ARS paycheck, put in the number of ARS FTE. For instance, if \$\$\$ will pay for 3 FTE over a 2-year period, the ARS FTE should be 3. <b>DO NOT INCLUDE RSA FTE. PERSONS WORKING WITHIN AN RSA ARE NOT ARS EMPLOYEES.</b></p> <p><i>ARS scientist funds distribution:</i></p> <p>If ARS is receiving \$\$\$, distribute in these categories:</p> <p>_____ Cat 1 and 4 Salaries</p> <p>_____ Supplies</p> <p>_____ Equipment</p> <p>_____ Other Federal Salaries*</p> <p>_____ Travel</p> <p>_____ RSA**</p> <p>_____ Other Costs***</p>
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<b>Value of Owned/Controlled ARS Building/Land</b>	<b>This field must be completed when the Type of Agreement is C=CRADA.</b>	The cost of the use of building and/or land is a real cost that is borne by each CRIS. ARS can either ask the outside party to pay its fair share of those costs or ARS can consider those costs to be an in-kind contribution. In either case, those costs must be considered in developing a budget. <b>First</b> - estimate the percentage of ARS owned or controlled buildings and/or land to be used when performing the research/service. <b>Second</b> - find the amount budgeted for land and structures (Object Class 3200 on the approved ARMP) on the CRIS associated with the research/service. <b>Third</b> - multiply the amount budgeted for buildings and land by the estimated percentage. This is the result to be entered. This amount IS NOT part of <b>How are Funds to be Used</b> , and WILL NOT be calculated in the <b>Total Proposed Amount</b> .
<b>Title of Proposal</b>  <b>NOTE: Services Only</b> will have no title.	This is a required field on all research projects, and will become non-modifiable on research projects over \$25,000 after an AD-416/417 is entered.	<i>ARS scientist proposal title?</i>  All modifications to the title must be made on the AD-416.
<b>Work to be Completed</b>	This field is required for all research agreements.	Describe the type of work to be performed. Use the <b>Objectives</b> from ARS scientist proposal for this field, i.e., Investigate ... Determine ....  <i>ARS scientist proposal objectives?</i>

<p><b>Work to be Performed</b></p> <p><b>NOTE:</b> If \$\$\$ to RSA or SCA, <b>Work to be Performed</b> must change from <b>Inhouse</b> to <b>Both</b> or <b>Extramural</b> depending on ARS scientist's involvement in project</p>	<p><b>I=Inhouse:</b> All work will be performed inhouse by an ARS scientist.</p> <p><b>E=Extramural:</b> All work will be performed extramurally by an outside organization (by means of an SCA or RSA or Contract).</p> <p><b>B=Both:</b> Part of the work will be performed <b>inhouse</b> by an ARS scientist and part <b>extramurally</b> by an outside organization (using an SCA, RSA, or Contract).</p>	<p>Is ARS scientist giving \$\$\$ to a RSA or SCA:</p> <p>NO   __</p> <p>I=Inhouse</p> <p>YES   __ \$\$\$_____</p> <p>Either E=Extramural or B=Both</p> <p><i>What will ARS scientist be doing?</i></p> <p><i>Will ARS scientist have others involved? How?</i></p>
<p><b>Extramural Agreement Type</b></p> <p><b>NOTE:</b> This field is required if <b>Work to be Performed</b> value is <b>E</b> or <b>B</b>.</p>	<p><b>1=Specific Cooperative Agreement (SCA)</b></p> <p><b>2=Contract</b></p> <p><b>3=Grant</b></p> <p><b>4=General Cooperative Agreement</b> (Used only at Baylor)</p> <p><b>5=Research Support Agreement (RSA)</b></p>	<p><i>If ARS scientist is giving funds out, how?</i></p>
<p><b>Principal Performing Organization</b></p> <p><b>NOTE:</b> This field is required if <b>Work to be Performed</b> value is <b>E</b> or <b>B</b>.</p>	<p>Name of <b>Principal Performing Organization</b></p>	<p>This field <b>MUST</b> be selected from the Performing Organization table. If an organization is not shown in the table, contact the Area Program Analyst to establish one.</p> <p>If there is more than one Performing Organization, enter the one receiving the most \$\$\$ and explain the other one receiving \$\$\$ in the "Reason" field.</p> <p><i>What organization is receiving \$\$\$ from ARS scientist?</i></p>
<p><b>Extramural Amount</b></p> <p><b>NOTE:</b> This field is required if <b>Work to be Performed</b> value is <b>B</b> or <b>E</b>.</p>	<p>Amount of \$\$\$ given to <b>Principal Performing Organization</b></p>	<p>Enter the amount in whole dollars that will be given to the Principal Performing Organization. If multiple, add and enter total. Do not use other punctuation in whole dollars; computer automatically generates punctuation.</p> <p>\$\$\$_____</p>

<b>Reason for Extramural Research</b>  <b>NOTE:</b> This field is required if "Work to be Performed" value is "E" or "B".	Describes the reason the work will have to be performed extramurally.	Match remarks to Extramural Agreement type.  Examples: “Research Support Agreement for services, salary costs.” “Specific Cooperative Agreement with Case Western Reserve University; Dr. Kung's lab has the expertise in construction of retroviruses for mutagenesis analysis. Project requires additional expertise in construction of retroviruses for ... not currently available in the MU or ARS.”
<b>In-house Project Title/Number</b>	This field is required for research agreements, and is to be selected from the list of inhouse projects within the Management Unit.	Select the related inhouse project that the Contact person is listed on as an Investigator. The title of the inhouse project will default in from the selected project number.  <i>Which project is ARS scientist listed on as Investigator?</i>
<b>Research Related to In-house Project</b>	This field is required for research agreements. <b>Y=Yes:</b> proposed research is directly related to the Contact's inhouse research. <b>N=No:</b> proposed research is not directly related to the Contact's inhouse research.	
<b>If no, describe why funds should be solicited</b>	This field is required if proposed research is not directly related to the Contact's inhouse project.	Describe why these funds should be solicited.  <i>Funds are being solicited to ...</i>
<b>Sub-Commodity and STP Codes</b>	This field is required for research agreements, and is to be selected from the sub-commodities and strategic plan codes (STP) from the inhouse project.	<b>Select up to 2 STP codes</b> from the list. At least 1 code is required. <b>Select up to 4 sub-commodities</b> from the list. At least 1 sub-commodity is required.

<p><b>Describe Deliverables</b></p>	<p>This is a required field for research agreements.</p>	<p>Describe the deliverables the Agency (<i>ARS scientist</i>) will provide the funding organization.</p> <p>Examples:          “Production systems to manage crop pests.”          “Results of all physiological assays (immune and hormone) and behavioral observations of dairy cattle.”          “New germplasm line.”          For NRI-CGP, state "Progress reports and final financial status report."</p> <p>Use verbage from objectives in proposal to fill this in.</p> <p><i>What will research of the ARS scientist accomplish? Impact?</i></p>
<p><b>Research Require More FTE's</b></p> <p><b>NOTE:</b> The data in this field "matches" the data from <b>How are Funds to be Used - ARS FTE.</b></p>	<p>This is a required field for research agreements.</p> <p><b>Y=Yes:</b> if yes, indicate the number of FTE's needed. (If yes, the Area Director will agree/disagree to provide the FTE's.)</p> <p><b>N=No:</b> if no, leave <b>Number of FTE needed</b> blank.</p>	<p>If \$\$\$ is in Other Federal Salaries, a FTE is required.</p>

**Research Support Agreements  
Fact Sheet**

ARS MAY ACQUIRE GOODS AND SERVICES FROM STATE COOPERATIVE INSTITUTIONS

**ACQUISITIONS ARE ALLOWED FOR**

- LAB TECHNICIANS AND AIDES
- SUPPORT PROFESSIONALS (NOT PERFORMING ORIGINAL RESEARCH)
- SEASONAL AND INTERMITTENT WORKERS
- GRADUATE AND UNDERGRADUATE STUDENTS
- PAYMENT OF TUITION REMISSION FOR GRADUATE STUDENTS
- SUPPLIES LESS THAN \$1,000 FOR RESEARCH UNDER THE RSA
- FACILITIES MAINTENANCE AND SECURITY SERVICES
- TELEPHONE AND UTILITY USAGE SERVICES

**ACQUISITIONS ARE NOT ALLOWED FOR**

- SY'S IN EXCESS OF 90 CALENDAR DAYS IN A FISCAL YEAR
- POSTDOCTORAL SCIENTISTS/ RESEARCH AFFILIATES
- DIRECT SECRETARIAL / CLERICAL HELP
- VISITING OR FOREIGN SY'S
- REIMBURSEMENT OF TRAVEL FOR ARS EMPLOYEES
- EQUIPMENT PURCHASES

**MIDWEST AREA POLICY**

- THERE IS A 4-YEAR LIMITATION PER INDIVIDUAL ON ALL RSA APPOINTMENTS. THIS INCLUDES BOTH FULL AND PART-TIME EMPLOYEES
- NO RETIRED FEDERAL EMPLOYEES WILL BE HIRED BACK ON THE RSA
- ALL GRADUATE STUDENT APPOINTMENTS MUST BE APPROVED BY THE AREA DIRECTOR
- GRADUATE STUDENT 4-YEAR LIMITATION WILL CONSIST OF 2 YEARS FOR MASTER'S DEGREES AND 2 YEARS FOR THOSE PURSUING A PhD

## Trust, Reimbursable

### NEW

#### 416/417

- ☐ No award date
- ☐ Start & term dates
- ☐ Remarks
- ☐ Investigator on D
- ☐ SY & I time 0.0
- ☐ Both names added
- ☐ Objectives
- ☐ Approach
  - Biosafety
- ☐ Keywords
- ☐ Research Codes
  - BRCOM

#### 425

- ☐ Source of Funds
- ☐ How are Funds to be Used
  - FTE
  - Federal Salaries
  - RSA
  - SCA
- ☐ Inhouse Project #
- ☐ SOI & STP codes
- ☐ FTE

### RENUMBER

#### 416/417

- ☐ Start & term dates
- ☐ Remarks
- ☐ Investigator on D
- ☐ Approach
  - Biosafety
- ☐ Research Codes
  - BRCOM

#### 425

- ☐ Inhouse Project #
- ☐ SOI & STP codes

On R & T projects, check to be sure that the ARS investigator listed is also on the in-house project.



**ARS-425, COVER SHEET, BUDGET SUMMARY, BUDGET EXAMPLES  
and  
SUPPLEMENTAL INFORMATION**

- ☐ Personnel hired by ARS **should** be in the Salaries and Wages section of the Budget sheet.
- ☐ Salaries and benefits for personnel hired through a RSA or SCA **should not** be in the Salaries and Wages section of the Budget sheets, but instead should be entered in the All Other Direct Costs section and have a separate Budget sheet as per Examples.
- ☐ Examples follow.